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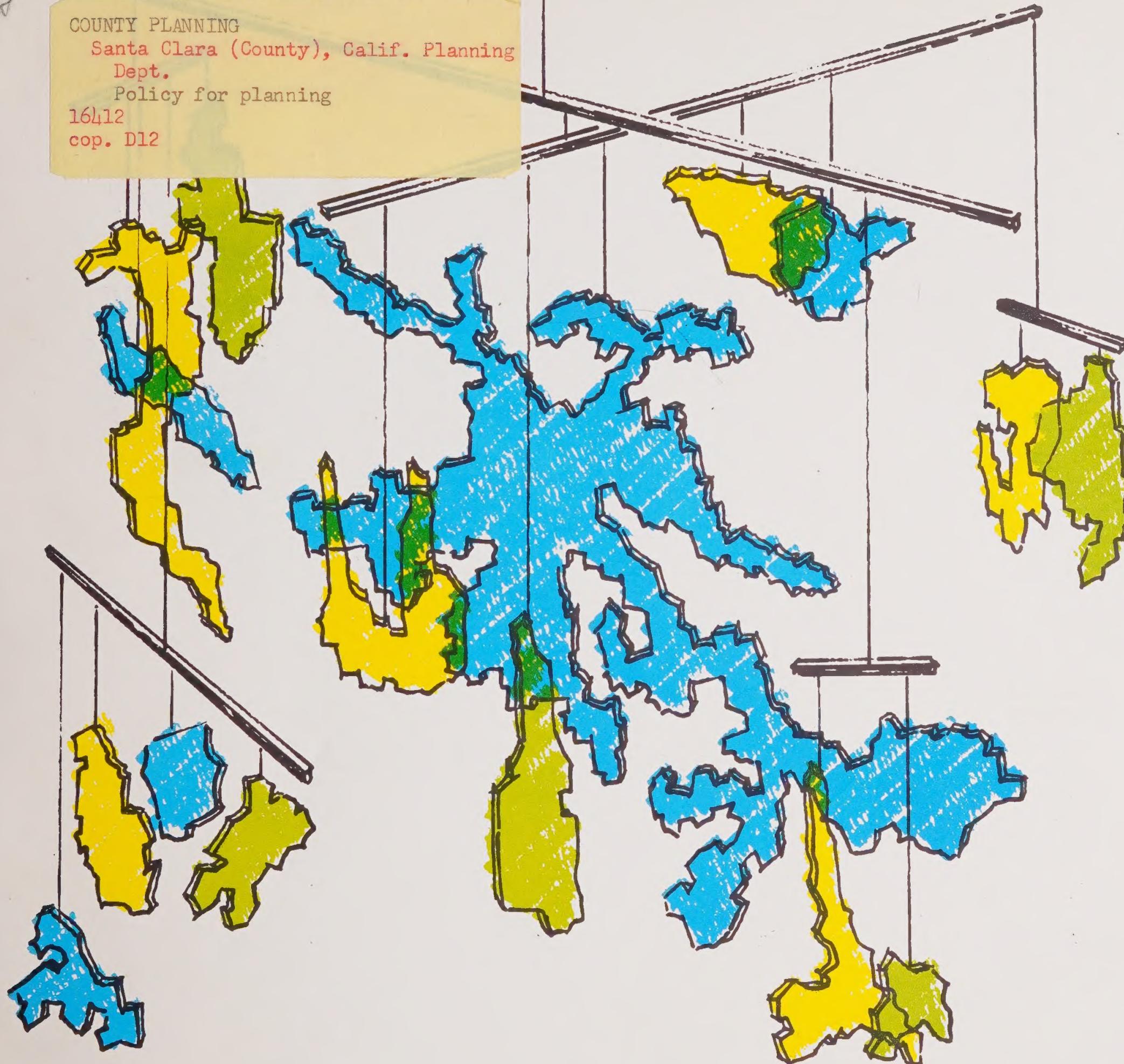
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POLICY FOR PLANNING

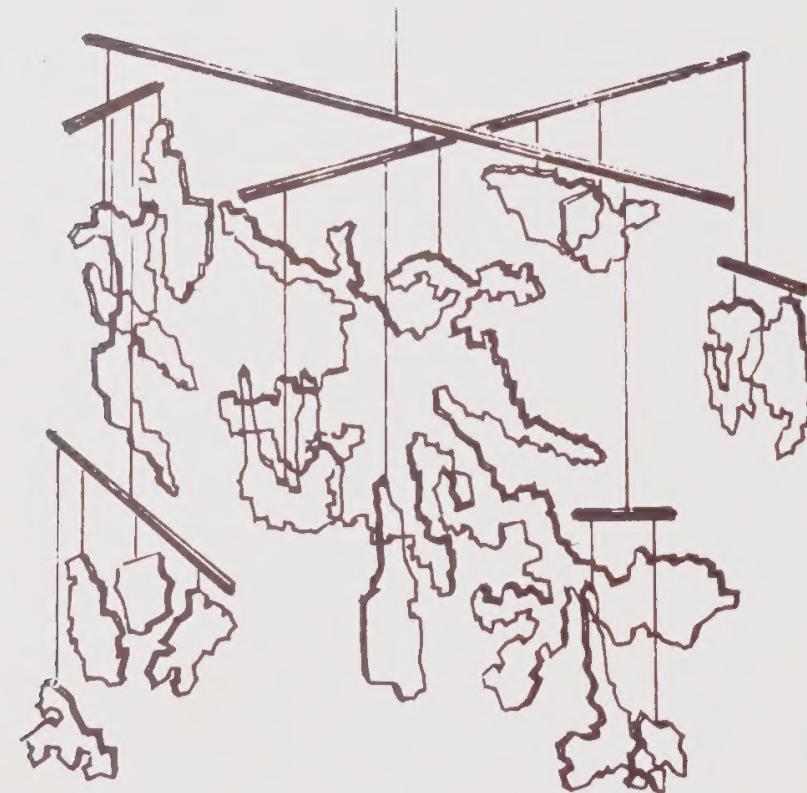
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THE COVER

Like the pieces in the mobile on the cover,
the sixteen cities of Santa Clara County
enjoy considerable freedom of action.

But as they move to accomplish their own purposes,
an endless chain of complicated relationships is also set in motion.
At times one piece may come into conflict with another.

lished by the County of Santa Clara Planning Department,
West Hedding Street, San Jose, California. July, 1965.

Preparation of this report was financially aided through a Federal
from the Urban Renewal Administration of the Housing and Home
ce Agency, under the Planning Assistance Program authorized by
on 701 of the Housing Act of 1954, as amended.

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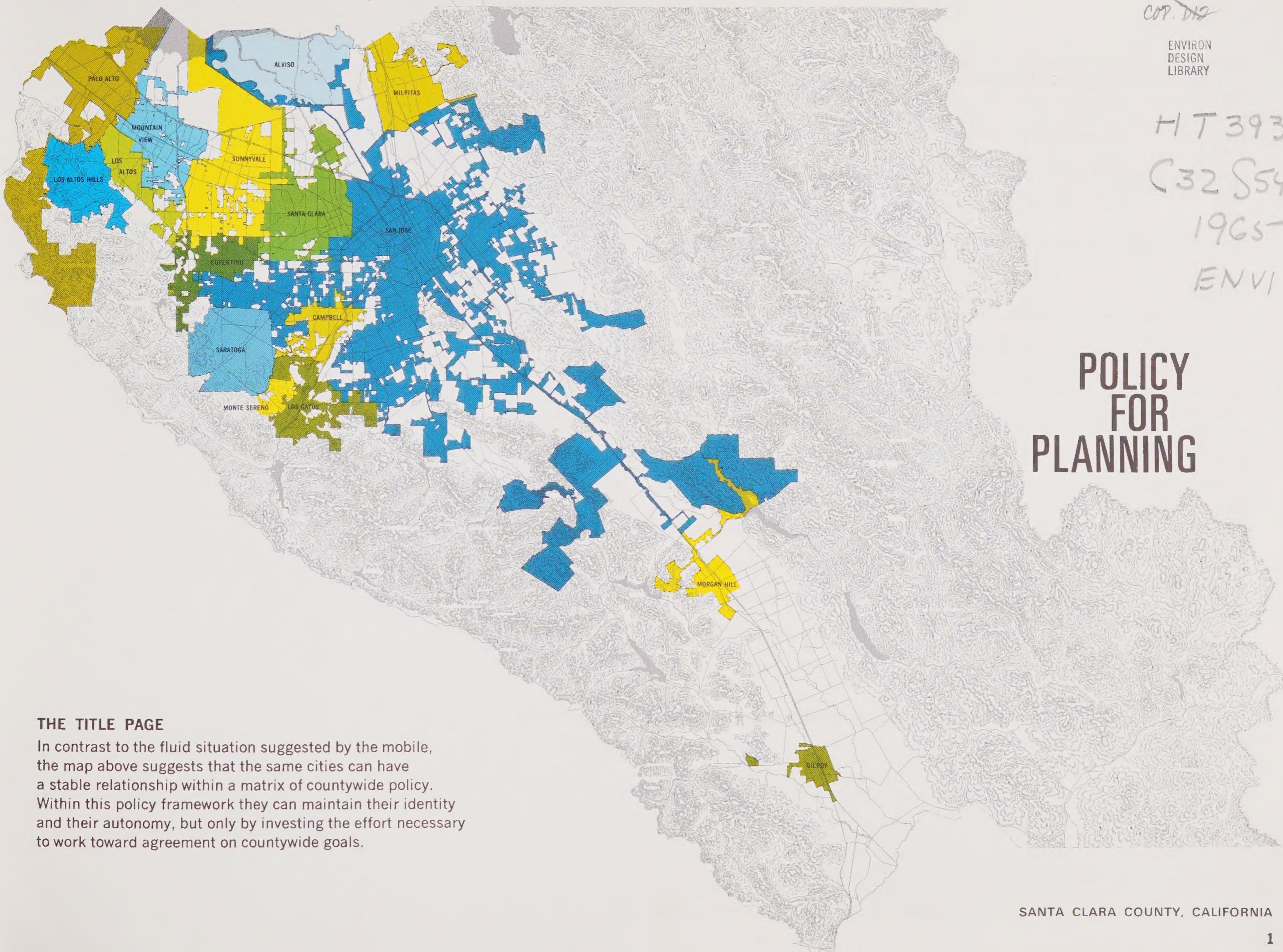
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POLICY FOR PLANNING

THE TITLE PAGE

In contrast to the fluid situation suggested by the mobile, the map above suggests that the same cities can have a stable relationship within a matrix of countywide policy. Within this policy framework they can maintain their identity and their autonomy, but only by investing the effort necessary to work toward agreement on countywide goals.



FOREWORD

Growth in Santa Clara County has been rapid, scattered, and sprawling. It has occurred in a time of great mobility when the automobile has spread people faster and thinner than was possible before. This growth has occurred in an environment of fractionated government – with the county, sixteen cities and many special districts all trying to accommodate growth and alleviate problems. Some problems flow across jurisdictional boundaries and demand joint action. But governments are often reluctant to become entangled with other jurisdictions in solving overlapping problems. There is a need for citizens who are able to surmount jurisdictional boundaries to join together and clearly define and express their desires, working with governments to solve common problems. Citizens should work continually to assure that effective policies are established and carried out.

Policy for Planning is the last of three reports produced by Santa Clara County's first federally financed 701 planning study. The first two reports, "Land Use Issues" and "Framework for Policy," presented land use development trends and the major issues facing the County today in the hope of stimulating communitywide discussion of these matters. This third report is the result of that part of the 701 Study which explored means of improving the coordination of planning and policymaking efforts within the county. It explains what policy is and presents a process for reaching agreement on issues among citizens at large. It is expected that during the coming year leaders in the county will join in further dialogue on how to face issues and formulate policy for the future. This dialogue will produce countywide policy from which plans can be made.





CONTENTS

POLICY FOR PLANNING is needed to provide a consistent framework for the solution of problems. Many problems can be solved by local government acting separately. However, **SOME COUNTYWIDE PROBLEMS** (page 4), are arising which no one political jurisdiction can solve alone. Examples are: Bay development and pollution, sewage disposal, transportation, land use harmony and aesthetics, and the need for a regional park system. To be resolved, these problems require the coordinated efforts of many governments and citizens.

As illustrated in **THE PROBLEM OF WATERFLOW CREEK** (page 6), a relatively simple, local problem can be difficult to resolve. The difficulty is compounded when more than one political jurisdiction is involved. The fundamental question, **WHAT IS POLICY?** (page 8), must be answered before countywide policy can be considered. In summary, "policy is a statement of where we are going and how we plan to get there." This statement implies a structure to policy. In **POLICY IN CONCEPT** (page 10), the theoretical nature and structure of policy is examined. However, the tidy structure described here is not always present. Therefore, **POLICY IN EVERYDAY PRACTICE** (page 12), is examined to contrast ideal policy theory with policy decisions in the work-a-day world. Continuing at the local government level, **HOW POLICIES ARE FORMULATED — GOVERNMENT** (page 14), outlines a general process for arriving at policy within any one community. This process is explained in further detail by describing **HOW POLICY IS FORMULATED — CITIZENS AND CITIZEN GROUPS** (page 16). **THE ROLE OF PLANNING IN POLICYMAKING** (page 18), describes how a professional planning staff helps both citizens and government bodies to make policy relating to physical development.

With the simpler single-jurisdiction policymaking process clarified, it is now possible to consider the more complex need for a **COUNTYWIDE FRAMEWORK FOR POLICYMAKING** (page 20). Such a framework is needed to meet the challenge of those problems which cannot be resolved without coordinated action. We are in the process of building the means of coordinating policy at the government level — both within the County and the San Francisco Bay area. At the citizen level a variety of organizations are being formed to help deal with policymaking in the Bay Region. However, in the County there are few citizen organizations which are Countywide in scope, and these are uncoordinated. There is, therefore, a definite **NEED FOR COUNTYWIDE COORDINATION AMONG CITIZEN ORGANIZATIONS** (page 22), to help cope with Countywide problems. It is here that the reader of this publication may play his part.

SOME COUNTYWIDE PROBLEMS

BAYLANDS DEVELOPMENT. Our majestic Bay is in danger. Its shoreline and tidelands are being filled and developed with ever-increasing speed. Conflicting demands to use baylands for industrial development and wildlife conservation, housing and recreation have not been resolved. Strong planning efforts by some agencies within their own limits are threatened by our failure to develop areawide policy to balance conflicting demands. As a result, we face the disruption of nature's balance and the loss of a prime recreational resource, while building industrial and residential areas that may fail to work well together.

TRANSPORTATION. In our county we are building an auto-oriented metropolitan area. The auto has allowed us to disperse across the valley, while our dispersal makes us dependent on our autos. Now we are building a good network of highways. But highway construction, traffic congestion, and demands for parking space will continue to disrupt our communities. And to provide only for the private auto leaves many of our people without transportation. Will we agree to build a total transportation system which balances (1) the private auto with (2) local public transit such as busses and (3) regional rapid transit?

EMPLOYMENT. Our population and employment opportunities have both doubled in the past decade. A major part of that growth, however, has been in electronics and missiles industries dependent on national defense policy and subject to job fluctuations. Will we agree to stabilize our job opportunities by (1) promoting the health of our other existing industries, such as food processing, and by (2) attracting a variety of new industries? The next decade will bring record numbers of high school graduates swelling the labor force and seeking jobs. Will we agree to hold land open for industrial expansion to provide needed jobs?





POLLUTION. We have made some effort to control the increasing pollution of the area in which we live. We have had some success in controlling pollution of the Bay, our streams and lakes, and the air we breathe. Partial efforts have been made to improve the visual appearance of our communities and roadsides. In spite of these beginnings, areas of the Bay are still unsuitable for water sports and wildlife, smog is an increasing hazard, refuse disposal is a continuing problem, and visual clutter and ugliness assault us. Will we agree to improve the quality of our living environment?

RECREATION. All of us, young and old alike, need recreation and life-renewing contact with nature. We need it close at hand, as well as across the valley, at the shore of the Bay, or in the foothills. As we build at ever-higher densities, the need becomes harder to meet. Will we agree to build new residential areas with more usable open space? Will we agree to fill in gaps in the partially completed local and regional park systems? Will we build the museums, sports arenas, concert halls, theaters and other facilities through which we join with other members of the community in sharing the culture of the outside world?

THE PROBLEM OF WATERFLOW CREEK

Possible citizen reaction:

Citizen A

Likes solution 1 because he likes to take an occasional walk in a more-or-less natural setting.



Citizen B

Likes solution 2 because he'd like to expand his parking lot back over the stream.

Taxes



Citizen C

Likes solution 1 because it costs less.

Not all problems facing the County are involved, overpowering situations . . . not at first glance anyway. Let's look at a seemingly simple problem:

Citizens A and C would reinforce each other and would counter B. They'd do so for different reasons. Thus, they'd help each other here but maybe not on further development.

Let's say solution 1 is chosen as an interim measure and the plans for a concrete channel are put on the shelf for a time.

A year after Waterflow Creek is dug deeper and wider, a developer proposes a residential subdivision on a parcel of land split by the creek. The land is presently unincorporated but is next to the Cities of Suburbia and Uptown and could be annexed at any time. The developer's plans for the subdivision, named Green Meadow, call for a typical low density tract of single-family, detached homes on six thousand square foot lots. Houses back up to the creek, leaving the narrowest possible strip of land for the channel, and the developer plans to fence in the stream. The developer approaches the City of Suburbia with his scheme and is informed that Suburbia would like to see a wider bank along Waterflow Creek so that a pleasant entrance to a nearby city park can be developed. However, Suburbia has limited funds and cannot now buy this extra land. The developer gets impatient and decides to annex to Uptown where his original scheme is acceptable.

By now, citizen A has heard about the proposal, realizes that if a section of the stream is defaced, fenced in, and left to collect trash, then his dreams of peaceful walks in nature, or of bicycling in the park are doomed. He arouses friends, forms the "Save the Waterflow Creek Committee" and starts to gather support for preservation of the streambed and for development of the streamside as a strip of park land winding through the urban landscape.

The Save the Waterflow Creek Committee soon finds that it's latched onto the tail of a tiger in a windstorm as counter forces react. The tiger keeps jumping in all directions almost out of reach while wind from all directions buffets the Committee, forever threatening to drown hopes for a park strip in the waters of confusion, red tape, and seemingly insurmountable problems.





A stream called "Waterflow Creek" frequently overflows its banks, flooding homes and disrupting traffic on major roads nearby and crossing the creek. Two alternate solutions are proposed.

Dig channel deeper, wider, make slight banks, keep basic natural foliage.

Channelize stream in concrete walls, clean out natural foliage to ease maintenance problem.

Can the developer and the community be convinced that a cluster pattern would benefit developer, homeowner, community?

Can governments along the creek cooperate to preserve and develop the natural beauty?

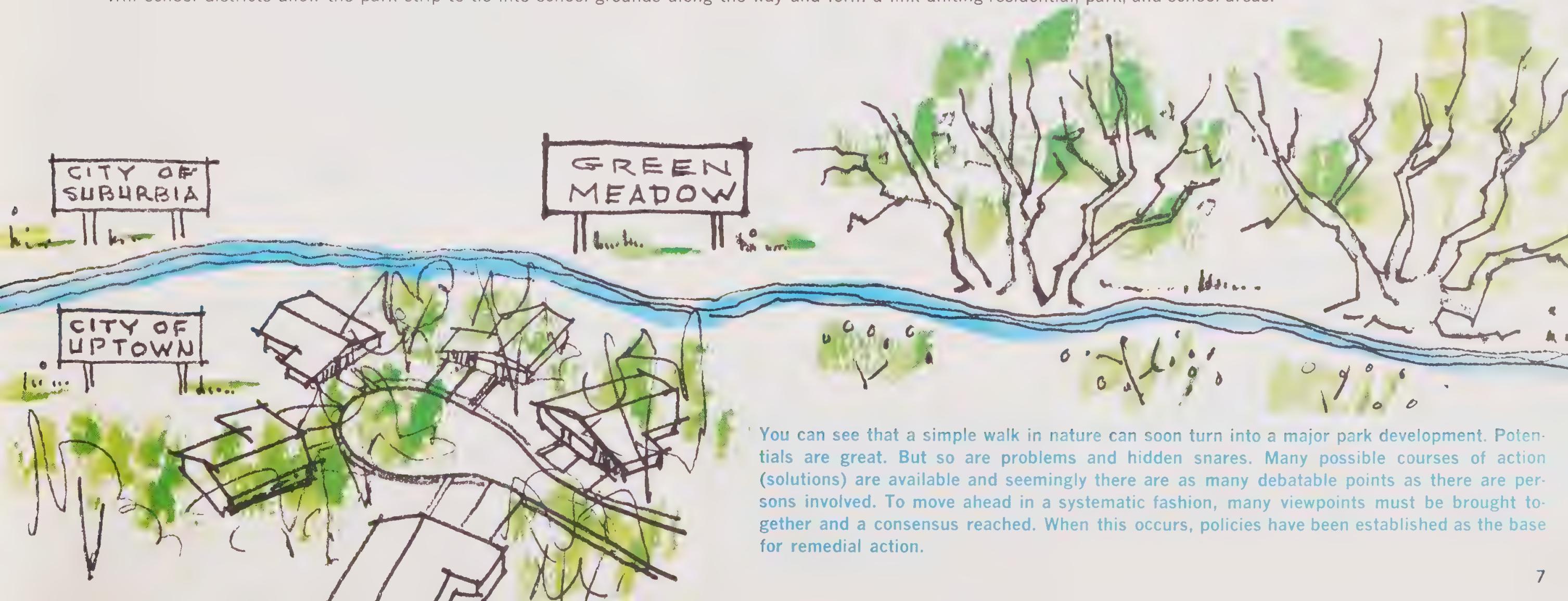
How about that State freeway crossing the creek?

Will school districts allow the park strip to tie into school grounds along the way and form a link uniting residential, park, and school areas?

Can the City of Uptown be convinced that a park link is a good idea?

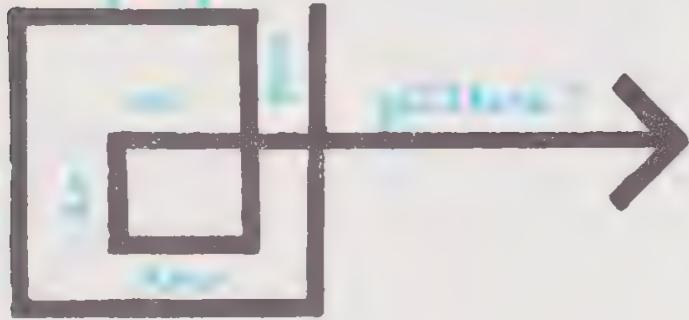
Will the developer alter his subdivision pattern?

New questions
keep popping up:



You can see that a simple walk in nature can soon turn into a major park development. Potentials are great. But so are problems and hidden snares. Many possible courses of action (solutions) are available and seemingly there are as many debatable points as there are persons involved. To move ahead in a systematic fashion, many viewpoints must be brought together and a consensus reached. When this occurs, policies have been established as the base for remedial action.

WHAT IS POLICY?

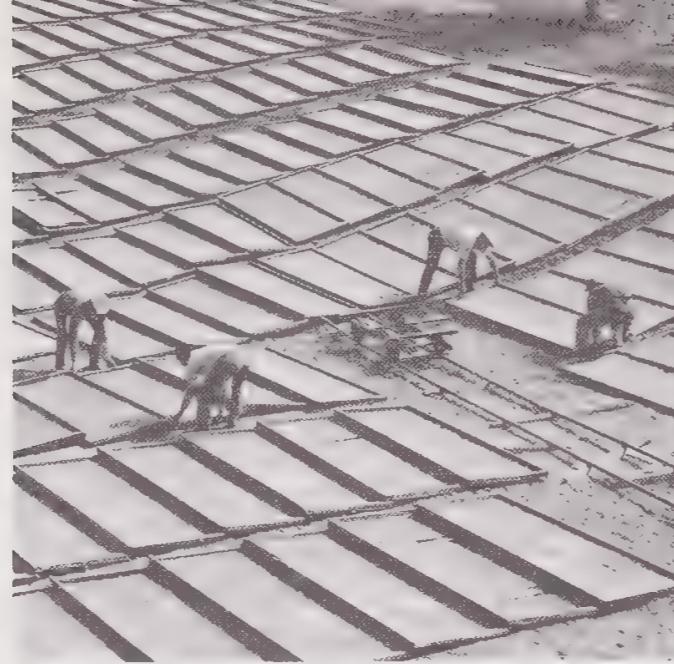


Policy in its basic definition is a statement of where we are going and how we plan to get there.

Issues are resolved by identifying goals clearly and by establishing consistent and rational courses of action by which they can be realized.

In setting policy, we pause to see how we are acting now, and we state how we intend to act in the future.

Santa Clara County is now undergoing tremendous change, creating major challenges. By establishing policies, we can meet these challenges in a systematic way.



CHANGE: From a slow-paced agricultural economy to a bustling manufacturing economy.

CHALLENGE: To promote a diversified, stable economy with ample and varied opportunities for steady employment.



CHANGE: From one-at-a-time houses to mass produced neighborhoods.

CHALLENGE: To take advantage of modern technology without mass monotony.



CHANGE: From old downtowns to massive, auto-dominated shopping center complexes.

CHALLENGE: To extend the convenience and the wide range of choice available in the modern shopping center without drowning the shopper in a dead sea of asphalt and automobiles.

WHY DOES THE COMMUNITY HAVE POLICY STATEMENTS?

The process of making policy is an aid to clear thinking in arriving at decisions.

It takes ideas from the level of mere attitudes or impressions and puts them into concrete statements of intent and action.

The roots of problems are exposed and solutions are studied in detail.

Once policy is established, then priorities for action can be set.

Linking goals, problems, and solutions reveals the costs and benefits of the various possible approaches to resolving issues and attaining objectives. Presented with this clear picture, the community can be moved to action; arbitrariness is minimized and consistency achieved.



If policy is important to a single government, it is vastly more important in a multi-jurisdictional metropolitan area. Areawide policy provides a framework for individual jurisdictions to act knowledgeably and securely because each knows what the other is attempting to achieve.

Clearly stated policy benefits government, business, and the people at large. Government, especially, is made more efficient when policy is established.

Many of the problems which government faces occur over and over again.

The time necessary for considering and acting on these problems can be greatly reduced if policy guidelines have been laid down.

Policy is thus the foundation for problem solving which saves government from starting from scratch each time a problem appears.



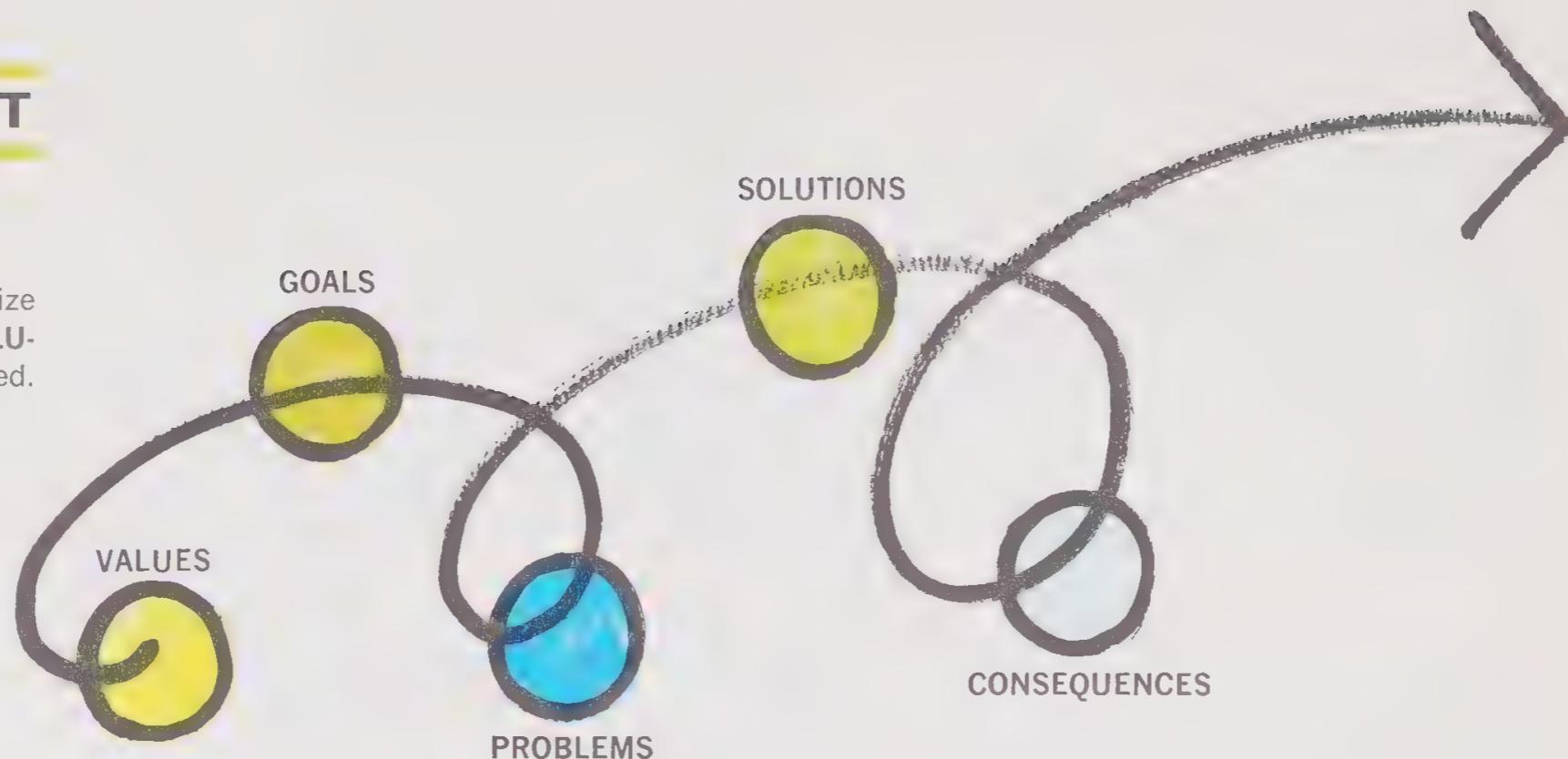
Business also benefits from policy. Developers, real estate persons, the whole range of private enterprises benefit when specific policy statements are adopted, because then they have firm ground on which they can base their own goals and actions.



The general public also benefits. By clarifying problems and relating them to goals and solutions, public confidence is enhanced. The public knows what government is doing and can help carry through actions.

POLICY IN CONCEPT

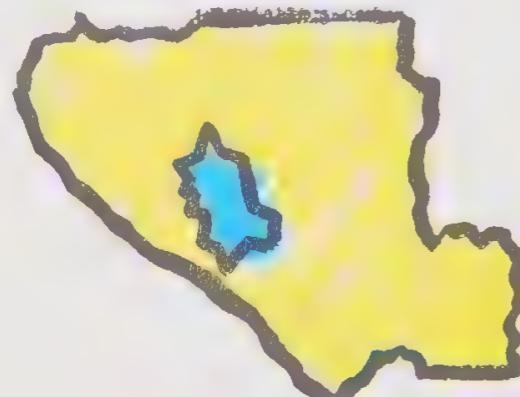
Policies are statements which recognize **PROBLEMS**, set **GOALS**, and outline **SOLUTIONS**, so that the goals may be attained.



As individuals we set **GOALS** for ourselves. Depending on our personal **VALUES**, we each want to own various things, to reach certain positions, to enjoy varied experiences — in short, we each have a style in which we want to live. Many of our goals concern the environment around us. Where there is common agreement, there are community goals.

PROBLEMS are conditions which stand between us and our goals. These may vary. When a number of people share a problem, however, it becomes a community problem. To overcome problems, we devise **SOLUTIONS** and put them into action. Our goals, our awareness of problems, and our solutions add up to community policy.

Our actions have **CONSEQUENCES** . . . hopefully they bring us closer to our goals. Sometimes, however, the results may cut off future opportunities or make undesirable choices unavoidable. We should look ahead to see that the solutions we choose today don't make problems for tomorrow. Instead, we should choose policies that work together toward common goals.



AREA

We adopt **large area** policies for the whole county or a large city, **small area** policies for a neighborhood, or policies for a certain **jurisdiction** or for **mountain areas** or the **Baylands**. Large area policies affecting Waterflow Creek might answer such questions as: shall we have major parks both in the hills and on the valley floor? Small area policy might insure that subdivisions along the creek leave room for a park chain.

THE SHAPES AND SIZES OF POLICY

SUBJECT

We have **economic** and **social** policies as well as policies for the **physical environment**. If we want to foster creative use of leisure time, policies affecting people's **health**, **education**, **employment**, and **income** are as important as **parks** if people are to be able to enjoy them. We should work for policies that integrate these concerns.

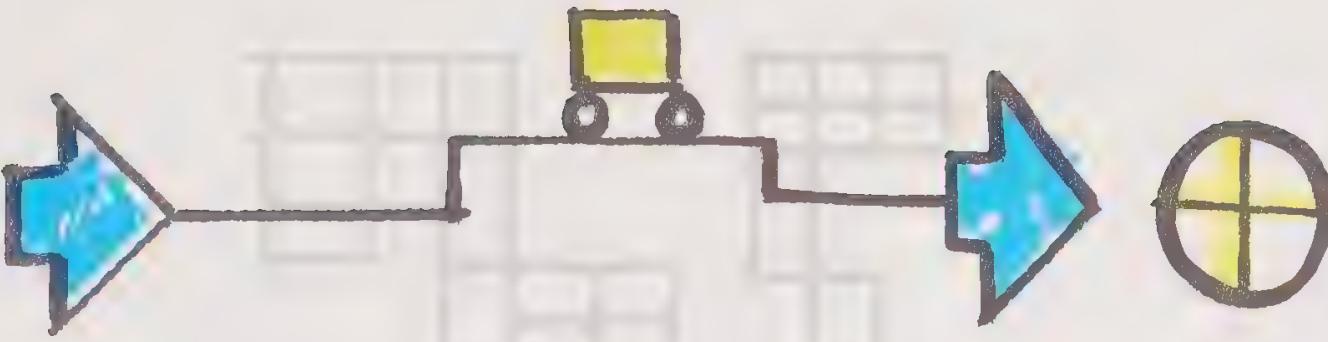


TIME SPAN

Some decisions have only **short-term** effects, but most government policies, especially those dealing with physical environment, have **long-term** effects. A structure once built or a land use once committed sets an activity pattern for many years. However, policies which set general long-term goals have little meaning unless coupled with **middle-range** policies, such as a six-year capital improvements program, and **annual** action. Policy should be worked out so that today's action will be in harmony with tomorrow's goals.

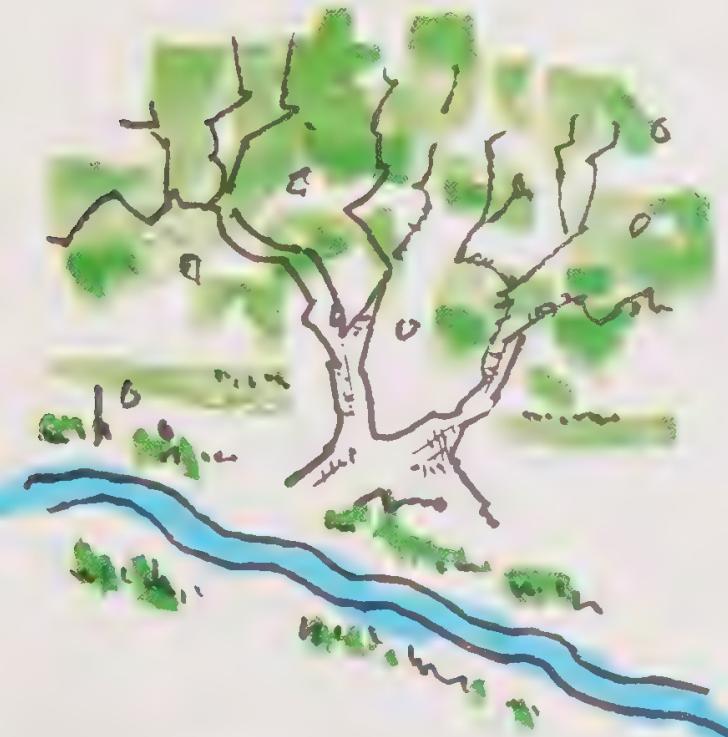
POLICY STRUCTURE

Policies are related, flowing from general goals to detailed actions.



GENERAL POLICIES — THE GOAL

When we visit a friend we must first find out where he lives. This sets the goal, determining where we want to go. Goals can be a framework for detailed decision-making, and point the way for more specific policies. General policies are often expressed as goals in general plans.



A POLICY EXAMPLE

With Waterflow Creek our general policies might be: "provide a variety of park and recreation facilities to meet the needs of all age groups, to include bay, valley floor, and mountain parks, linked by streamside park chains. . . ." Our middle-range policies: "develop Waterflow Creek and Bayview River as streamside parks, linking living and working areas to schools and other facilities. Seek joint government action for continuity of park chain development. Offer a density bonus to builders who dedicate land along the stream for park use. . . ." Our detailed policies: "adopt plan lines setting boundaries for the park chains. Set a committee to coordinate government action and to review land development proposals. Work with land owners along the creek to draw plans for private development leaving open space along the creek. . . ."

MIDDLE RANGE POLICIES — THE ROUTE

To reach our friend we need to work out the route to take. Middle-range policies are interpretive—they flow from the more general policies, setting the course of action needed to link goals to short-range decisions, detailed recommendations, and regulations. The focus of middle-range policies is on implementation.

DETAILED POLICIES — THE MEANS

We have chosen the destination and the route. Now we must choose a means of travel. Detailed policies do this. They outline specific standards, regulations, and programs, converting middle-range policies into detailed recommendations for procedures, ordinances, or facilities.

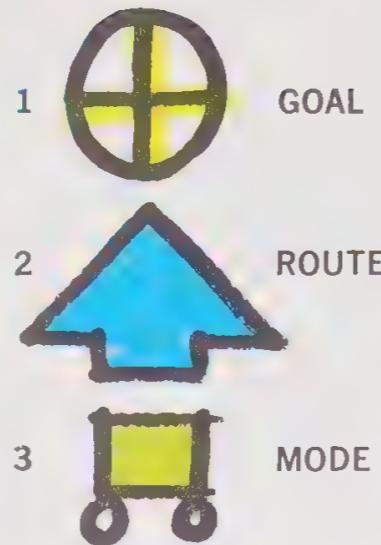


POLICIES AFFECT EACH OTHER

So far we have emphasized policy links within a given subject area—that is, policies concerned with one broad goal, ranging from the general to the detailed. But our community has many goals. Usually, the middle-range or detailed policies chosen to reach one goal affect other goals too . . . either helping or blocking their realization. Since most governmental decisions concern middle-range or detailed policies, it is important to consider what effects a policy may have on other goals. By so doing we may avoid undesirable consequences. If we can identify policies consistent with several goals, those goals may be accomplished more easily. Fortunately, people may often agree on a middle-range or detailed policy although they don't necessarily agree on long-term goals. In this way, we may find policies for Waterflow Creek on which both builder and conservationist will agree.

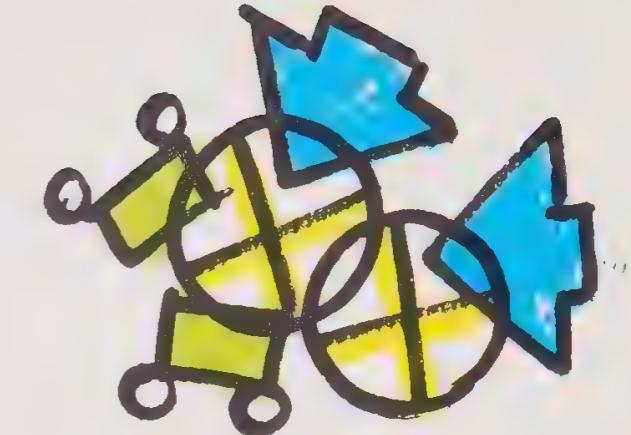
POLICY IN EVERYDAY PRACTICE

A tidy, logical policy structure, including first, second, and third order policies flowing coherently from general to particular items is not always found in the typical decision-making process. Sometimes detailed, specific policies are formed without guidance from more general policies; sometimes there is a policy of no policy; and sometimes policy is adopted just to placate people.



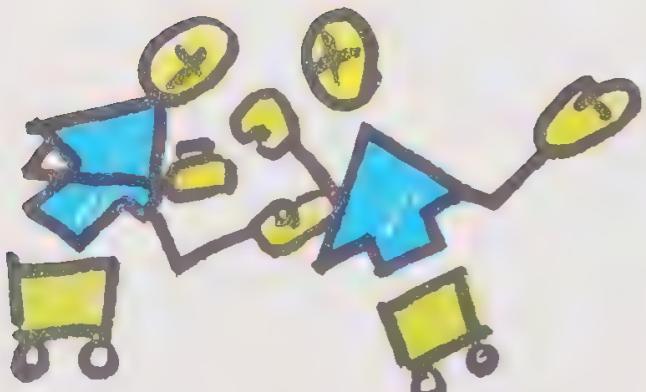
ADOPTING POLICIES OUT OF SEQUENCE

Establishment of the more general policy narrows the choices available at the next lower policy level. If we go in reverse and start at the bottom of the policy structure, we likewise limit our choices at the top. Setting policies out of sequence and developing detailed policy statements will force adoption of certain more general policies. The result may be undesirable and unwanted goals.



In the Waterflow Creek example, if local governments purchased and developed parks as the need arose, if they approved subdivisions routinely without advocating new techniques such as common green developments, and without considering retention of natural scenic areas, if detailed situations were not considered in terms of broader policy, then the over-all goal of developing streamside parks would never be achieved.

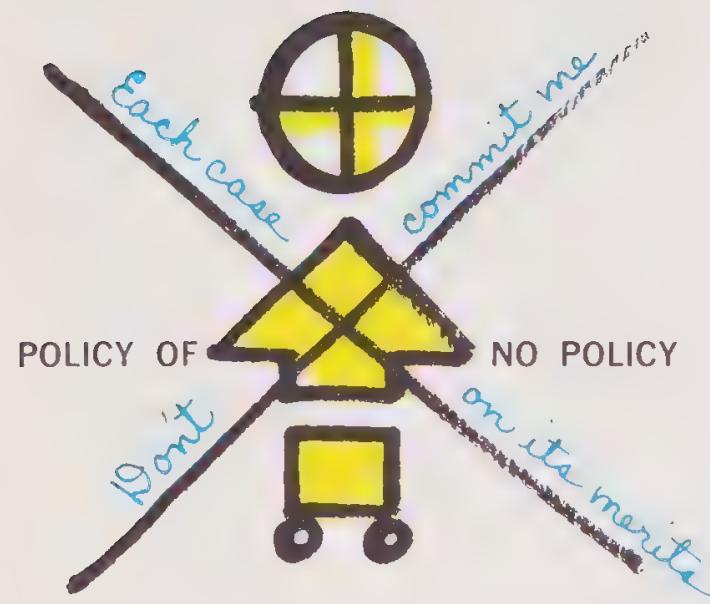
Establishing first, second, and third order policies doesn't create an immobile, one hundred percent worked out world. There is still a great deal of freedom available in choosing specific actions to carry out stated policies, and a great deal of leadership is still needed in applying whatever policies are adopted.



PEOPLE AND GOALS DIFFER

Our many citizens are interested in many goals. The 890,000 persons living in Santa Clara County have diverse backgrounds, knowledge, experience, values and objectives. Also, any one person may change his outlook on certain subjects according to the role he is playing. Thus, a person involved in the thick of our highly competitive society trying to earn a living might have one outlook on the regulation and control of streamside development because he wants to extend his parking lot back over the stream. That same person relaxing with his family in a calm sylvan environment on vacation might have a totally different outlook. Conflict is inevitable, but resolution of discord and progressive action is imperative if the goals are to be realized.





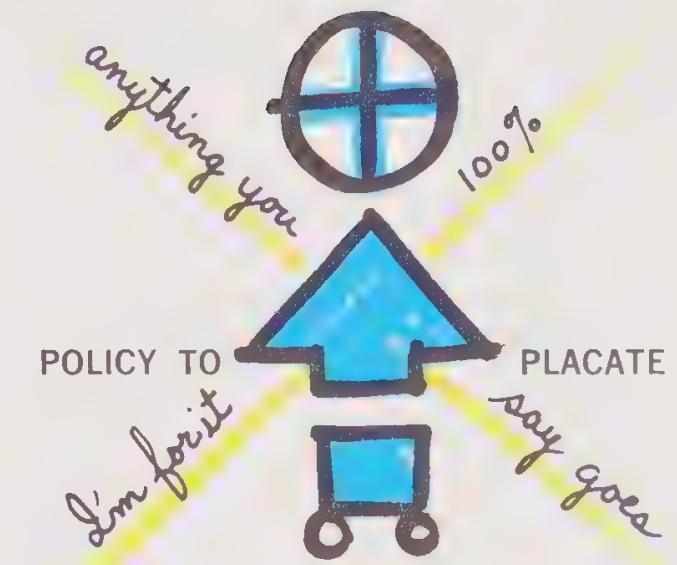
POLICY OF NO POLICY

Often there is a reluctance to adopt policy.

This attitude allows maximum flexibility in responding to day-to-day pressures. This "no policy" situation sometimes exists because of a belief that the future is so unpredictable that basing today's decisions on long-range goals is foolish. Also, there is frequently the feeling that we should not become bound to long-term commitments that might be difficult to realize.

POLICY ONLY TO PLACATE PEOPLE

Sometimes policy is adopted just to relieve immediate pressures and to create the feeling that something is being done. There is really no intent to follow the policy and, in fact, it is not followed.



GOVERNMENTAL AND NON-GOVERNMENTAL POLICY

The community uses government to set ground rules and to guide its private or non-governmental activities in urban development. Creation of policy at the governmental level is essential, but most development is conceived and executed by non-governmental entities. Thus, establishment of positive policies for community development is also essential for the non-governmental sector. Widespread awareness of this need and of the responsibility to meet the challenge could result in a number of concrete actions. Private action for Waterflow Creek might include: a special crusade by a local newspaper on the need for and value of park links and nature trails; the hiring of competent architects and planners by the developer of Green Meadow to design the subdivision with common green areas along the stream, maintaining scenic qualities and adding landscaping and homes so as to add to rather than detract from the park concept; adoption of a policy by utility companies to foster installation of utilities underground; initiation by local service clubs of projects to preserve, develop and beautify segments of the streamside.



It is a fact that non-governmental policy tends to be oriented to short-term economic gains. Capital tends to seek the highest and safest return. Firm governmental policy is needed to encourage non-governmental entities to create a pleasing, desirable community in the long run.

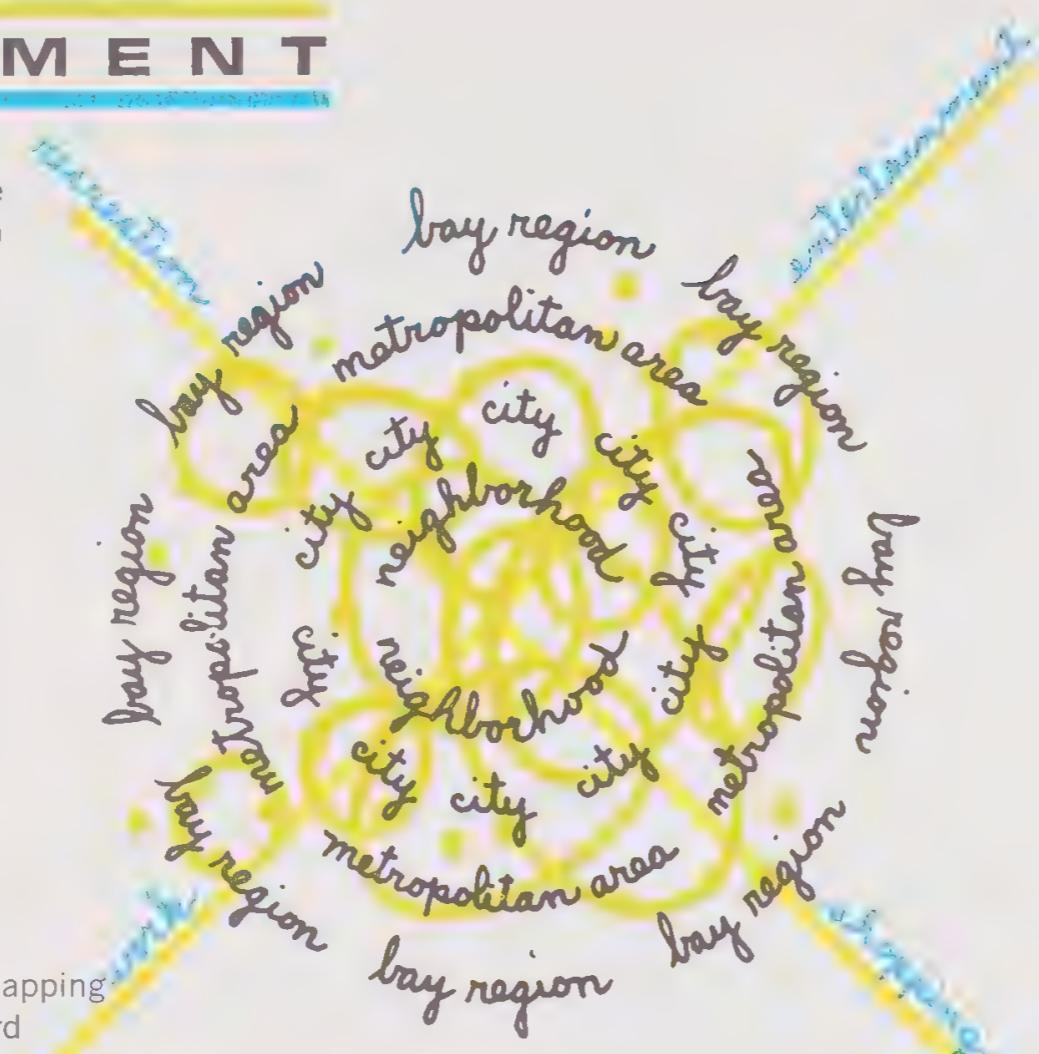
Confusion, frustration and the threat of losing a recreation resource resulted when change was proposed to tame Waterflow Creek. Lack of firm, integrated policies on creek and creekside development created the trouble. In a democracy, government exists, among other reasons, to resolve conflict and to assure that a meaningful whole emerges from the melting pot of ideas. To produce order out of threatened chaos, a process is needed to chart goals, to establish solutions, to find areas of agreement and disagreement and to consider the consequences of action. Some sort of planning process is needed to help establish, coordinate, and carry out policies.

HOW POLICY IS FORMULATED

GOVERNMENT

A community is made up of a large number of people who share a web of relationships based on family, friendship, associations, work, linked economic and social functions, and the geographic area they occupy in common. Most activities take us beyond the neighborhood of our home. Some of our functions focus on the city in which we live. For most of us, our functional community extends across the Santa Clara Valley. For many, our community is the San Francisco Bay Area, and for others, our community extends into the world beyond. We live today in metropolitan areas made up of a variety of overlapping communities which expand outward to include many local governments, whereas, in the past, we thought of the community as the single city with its government and legal boundaries.

The process by which a complex metropolitan community makes policy is basically the same as that for a single-city community. But it is much more complex. Let's look at the policymaking process for a fairly simple community with one government, such as a city council.



The Community is moved to action
as the opinions of its citizens become aggregated
into a forceful consensus.

COMMUNITY POLICYMATING IS A CONTINUOUS

PROCESS OF CHANGE . . . CHALLENGE . . . RESPONSE

The community goes along until a change presents

a challenge The healthy community responds

to solve the problems of change and move to higher levels

of living By deciding what to do about

meeting the challenge of change the community has made policy.

It has integrated its solutions into better patterns of living,

a healthy response to change.

The policymaking process, or in other words “the decision-making process,” involves the **whole community**. Many people in the community contribute, and policies result from the sum of their actions, the total of the suggestions, disagreements, arguments and agreements. Even those who are inactive share responsibility for the community’s policy. If they had been active, the outcome might well have been different.



THE COMMUNITY SETS UP ITS GOVERNMENT TO PLAY A KEY ROLE IN THE POLICYMAKING PROCESS

Government organizes the process so that it is as orderly as possible. It guarantees that everybody has at least a minimum chance to participate through elections, public hearings, and study committees (even though some people never use the opportunity); and it gives formal, official expression to what the community has decided.

When the policy decisions have been formalized by government, the community uses government to help carry out policy by: setting basic ground rules for individual action through ordinances, standards, codes, laws; coordinating private activities; carrying out specific programs beyond the ability or scope of private action.

Like a reflector concentrating the beams of a candle, the community uses its government to focus some of its activities which otherwise might be too random or haphazard to achieve goals.

San Jose Citizen addressing the Council



Citizens, as individuals or in groups, become aware of changes, new problems, new needs. Each presses for solutions he likes best and thus helps shape the final result. Citizens then help carry out the solution which they, as a community, select.



City Council, City of San Jose



Staff member presents alternate solutions

THE PROCESS IS A CONTINUOUS CONVERSATION AMONG THE CITIZENS, THEIR ELECTED OFFICIALS, AND THEIR PROFESSIONAL STAFF EXPERTS

Professional staff experts gather and analyze information about the community. They point out possible emerging problems and opportunities. They study problems. They propose and test the likely effects of alternative solutions. They recommend what seem to be the best solutions. They help carry out the solutions which have been adopted.

EACH PLAYS AN IMPORTANT ROLE IN THE POLICY-MAKING PROCESS. Unless each does his job well, the others work at a disadvantage. ANYONE in the community may identify a community problem, BUT that problem will probably get attention only if MANY PEOPLE, or **IMPORTANT PEOPLE**, care about solving it, and that it can be solved with existing resources.

HOW POLICY IS FORMULATED

CITIZENS AND CITIZEN GROUPS

IN THE METROPOLITAN COMMUNITY THERE ARE MANY KINDS OF PARTICIPATION AND NON-PARTICIPATION IN THE POLICYMAKING PROCESS. Most people participate only when a community problem affects them very closely, and, since most people don't understand the implications of community change or how to do anything about it, this means that many people participate rarely, if at all. Some people are active regarding a few of the many problems facing the metropolitan area, while a few people work on many of our problems. People usually act only on the problems they are most interested in. They are often unaware of the other people working on other problems. Consequently, it is difficult to keep even the active people informed about the whole range of problems we face and the relationships among them. It also means that it is less difficult than many people believe to become active and contribute to problem solving.

INDIVIDUALS ACT

Among those who are active in varying degrees, some are more successful in persuading the community to adopt their suggestions. That is, they are more influential than others. They probably develop their influence in one or more of the following ways:

- 1 They have individual ability. They get good information about community problems and have good ideas about how to solve them. They have lots of energy, are personally persuasive, and work hard to convince others to adopt their point of view.
- 2 They speak with the voice of many. They speak for, or are joined by, many other people who agree on the same point. Although the people may disagree on other matters, on this one they have joined their individually weak voices into a single strong voice. Many people use organizations to reach agreement on a position and then work together to have that position adopted by the community.



They have a wide range of contacts, friends, and associates, many of whom may also be active in the policymaking process. In this way they can spread an idea very quickly among the people who will eventually help decide. They often use organizations to reach many people quickly.

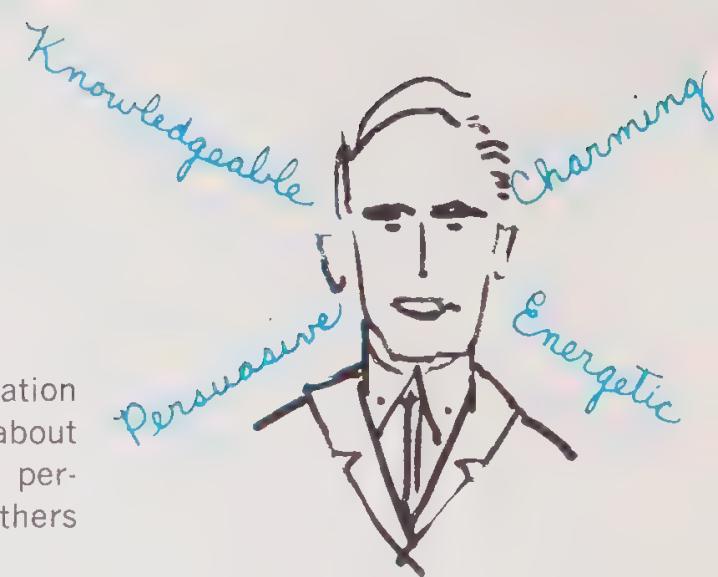
3



Most people, however, do not express themselves publicly about most community matters. In the face of this silence, the elected officials must assume their decisions have the passive consent of the community. In some cases, though, it may be the silence of dissatisfied people, who don't know how to bring their ideas before the rest of the community effectively. Having no hope of influencing the course of events, they sink into APATHY. And yet at times, even apathetic people will join together to support or oppose some public proposal. Still other people fear that the problems are so complex that they have no right to have an opinion. They are wrong, of course. The most basic policy questions involve basic human values about which everyone should have a voice. The more technical questions involve how goals are to be accomplished. While these technical matters may require know-how, they are meaningful only after the more basic questions have been settled.



- 4 They may have successfully developed important community resources, such as money, credit, newspapers, radio, or television. As a result, they can speak either more loudly or draw a more attentive audience.



GROUPS HELP

In a large metropolitan area, almost every person fears his lone voice is too weak to be heard. To remedy this problem, people form organizations to express their views. In order to reach a position which it can advocate publicly as that of the majority of its members, the healthy organization also informs its members and helps them develop understanding of community problems. By pooling their individual resources and work, the members can get facts and share in discussion which they could never do alone.



San Jose Citizens' Community Improvement Committee

CONFLICT AND COMPROMISE

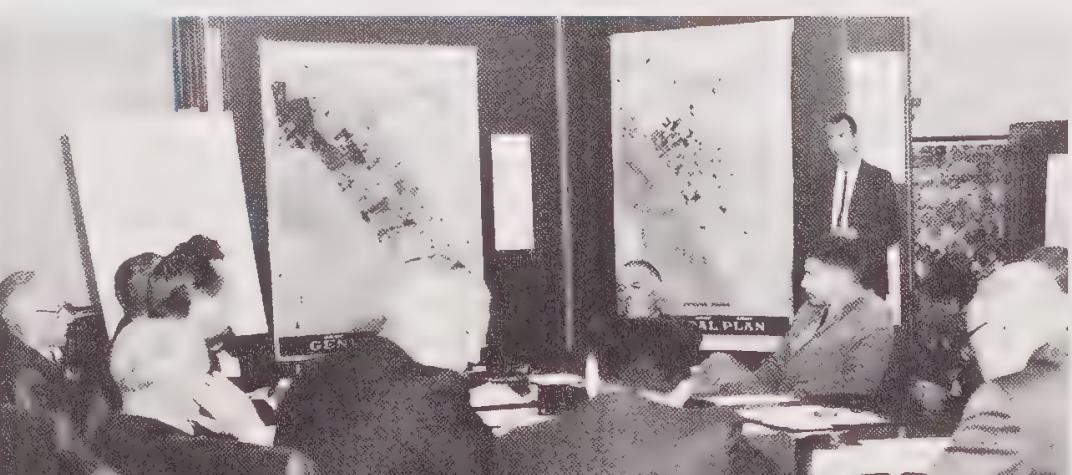
For an organization to reach a public position involves discussion and compromise among its members. They must come to agreement about priorities, about problems and solutions. They must agree about what is most important to work on. What they judge least important may be bargained away to reach useful compromise. The process involves discussion and persuasion. It involves the gathering of favorable votes by exploring an opponent's needs to find what may be offered in exchange for his support. Inherent in the process of reaching a useful measure of compromise are: careful attention to the facts, communication, dissent, disagreement, and even conflict. Often, hard feelings result, not only for the people who "lost" but also the "winner," whose victory may be spoiled by guilt feelings. A degree of conflict is unavoidable, although it can be lessened if a systematic problem-solving process is followed. In this way everybody's relevant ideas are tested against the problem, and the basis for decision may be clearly understood. Thus, the healthy group or community finds ways to reduce the difficulties of policymaking. The unpleasantness may be balanced by the satisfaction of helping to shape community policy.



A degree of conflict is to be expected



County of Santa Clara — City of San Jose Joint Planning Committee



LEADERSHIP

The person giving direction to the problem-solving process must know the steps that systematically lead to a sound conclusion. He must also have the ability to help a group listen to one another, understand each other's standpoints, and weigh the pros and cons of the various alternatives. He must have a high degree of objectivity, for if he is too much interested in a certain outcome, this will probably interfere with his effectiveness as a leader. He must be seen by the members of the group as impartial and he must be able to understand both sides of an argument. He must look first for what people seem to agree upon. Maybe they do agree on the definition of the problem. Maybe they do agree on most of the facts. Maybe they disagree on the merits of a particular solution. For the leader, it is as important to point out agreements as to state clearly what the disagreements are.

THE SAME PROCESSES OCCUR AT THE METROPOLITAN COMMUNITY LEVEL WHEN PEOPLE, SPEAKING FOR DIFFERENT GOVERNMENTAL JURISDICTIONS AND CITIZEN GROUPS, WORK TO DEFINE COMMUNITY PROBLEMS AND FIND POLICY SOLUTIONS. FOR THE PROCESS TO WORK MOST EFFECTIVELY, CONSISTENT WITH OUR DEMOCRATIC PRINCIPLES WE NEED:

SOURCES OF RELIABLE INFORMATION ABOUT THE NATURE OF OUR METROPOLITAN COMMUNITY AND ITS CHALLENGES

CHANNELS OF COMMUNICATION AMONG ITS CITIZENS, THEIR ORGANIZATIONS, AND THEIR ELECTED GOVERNMENTAL OFFICIALS.

THE ROLE OF PLANNING IN POLICYMAKING

To meet the challenge of community change we need policy for land development and community facilities, such as highways or schools. This kind of policy, often called "physical development policy," calls for community planning. Most City Councils and the Board of Supervisors have appointed Planning Commissions to help them study planning policy matters. Major land development policy is usually reviewed first by the Planning Commission. They recommend action to the Council or Board. The Council or Board makes the final decision, which may or may not follow previous recommendations. More specific matters, like zoning, or carrying out major physical development policies also go to the Planning Commission before they go to the Council or Board for final decision. In each case the Planning Department staff studies the matter to advise the policymaking bodies.

Our local government's planning function is concerned with making physical development policy. This has usually been done by preparing and adopting a document called a "General Plan," using maps and sketches to describe planning policy. Statements of policy in words and the reasons behind them have been too rare. Furthermore, general plans have sometimes been prepared and adopted without much discussion in depth among citizens, planning commissioners and elected officials. Thus, the planning staff has often moved the planning policy process along from general goals to specific proposals without real agreement and decision on basic policy. When basic understanding and agreement on planning policy are lacking, it is not surprising that the plans are not carried out.

There is a systematic process of solving problems and setting policy. But this process is rarely followed because strong feelings are often aroused by proposals, and, before you know it, the discussion becomes a debate in which factions fight until one wins.

PROBLEM DEFINITION

A desired change is usually the reaction to a problem that exists. If the problem is not well defined, people may run off in different directions, defeating the problem-solving process before it starts. The citizen who goes for walks along the creek's natural banks sees a problem in any drastic change; the apartment owner wants to expand his parking lot and sees a problem if he cannot do it; the man downstream sees a problem if his home gets flooded. It is important to come to a clear problem definition on which people can agree. Local government (the Board, the Councils, or Planning Officials) or citizen organizations can hold study meetings for the people concerned. There, they can work to define the problem. If the people agree that the present status cannot be maintained, then the next step can be made.

EVALUATION

As the action is completed we can look back and see what is accomplished. If the problem is not being solved, we may have to go through the problem-solving process again. Perhaps some facts were overlooked or somebody did not do his share. If the action program has succeeded, we can look back with satisfaction on a successful planning operation.

ACTION

The agreed-upon action program can now be carried out by those responsible. It will probably include action by both private enterprise and government, individuals and groups—a communitywide partnership.

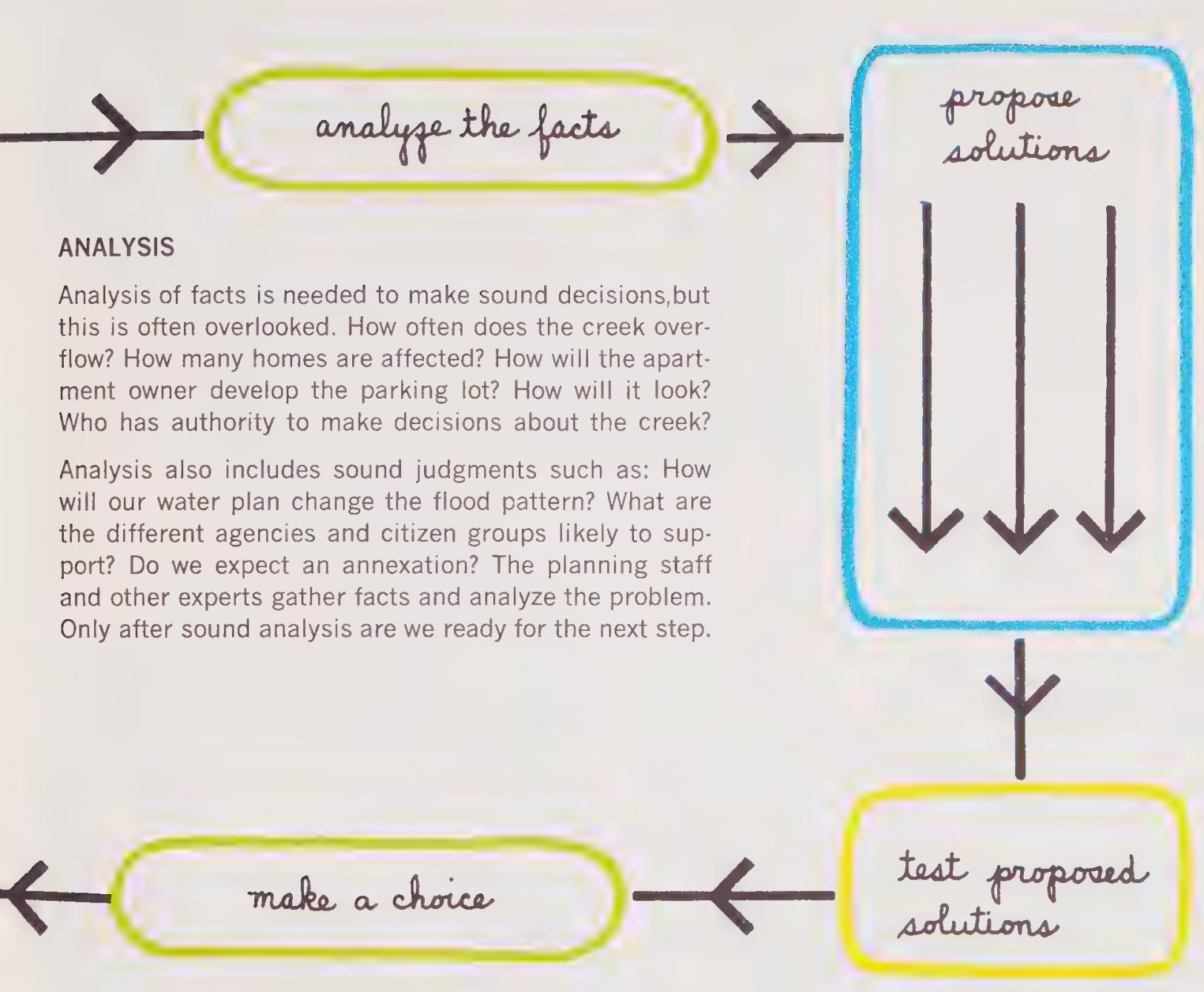
agree on nature
of problem

define the problem

decide how
to carry out
policy or plan

IMPLEMENTATION

After the decision is made, the process is not over yet. The choice has to be implemented. People have to get ready for action. Who will do what? When? How? These are questions that have to be answered before action can be taken.



ANALYSIS

Analysis of facts is needed to make sound decisions, but this is often overlooked. How often does the creek overflow? How many homes are affected? How will the apartment owner develop the parking lot? How will it look? Who has authority to make decisions about the creek?

Analysis also includes sound judgments such as: How will our water plan change the flood pattern? What are the different agencies and citizen groups likely to support? Do we expect an annexation? The planning staff and other experts gather facts and analyze the problem. Only after sound analysis are we ready for the next step.

PUBLIC CHOICE — A FORUM FOR DISCUSSION

Will a proposed policy satisfy many people even though their goals may vary? This is possible, and it weighs heavy in the making of community choice. What to do about it can only be known through open systematic community discussion. This discussion is stimulated by elected officials, staff, and citizen groups working to define problems and propose and test solutions. Only through such discussion, with its array of meetings, personal contacts, and other communication, can the community reach agreement on policy.

While discussion is needed for choice, it is not a substitute. The time for choice has arrived. If the problem-solving process has been systematic, this needn't be a tense moment. Very often, however, it is, and hard feelings result. A systematic process should result in considering all relevant ideas, and if the decision comes out differently than some people expected, at least it should be clear why this had to be.

Through this process of discussion and public choice we may: show how a policy may meet the needs of a variety of people — expose inconsistencies among policies — satisfy the growing desire of our citizens to take part in the setting of community goals — assure that plans represent real community goals and offer concrete steps for getting there — and build a broad political community able to resolve the problems needing countywide solutions.

PROPOSING POSSIBLE SOLUTIONS

Now it is time to consider alternate plans aimed at solving the problem. The planning staff helps propose possible solutions for community problems. Each plan should be clearly presented before going on to the next step (testing the proposals), as a problem may be solved in different ways. Some may reach far beyond the problem at hand and open other opportunities for the community. Too often, plans do not get considered because some detail in them offends somebody, or the planning group may fail to define or analyze the problem and move too quickly into specific proposals. In either case, the opponents attack the proposals, so that mutual defensiveness results, rather than cooperative thinking.

After the possible solutions are stated, free from distracting detail, the areas of agreement can be identified and the differences can be studied. Combining possible solutions may give more workable proposals which can then be tested for how well they help solve the problem.

TESTING PROPOSED SOLUTIONS

Somehow, from a variety of possible solutions, one has to be selected. How is it to be done? The planning staff, along with others, can help test the probable consequences of each proposal, to judge if it will indeed solve the problem. They can help show how each proposal is related to other current problems and policies. The decision-makers may also wish to consider how well a specific choice flows from a goal, and how well it promotes and implements more general policies.

A CONTINUING PROCESS

Urban development is a dynamic process. Changing conditions may call for new plans. The policy that worked yesterday may have to be changed to provide guidance for today. This is one of the frustrating and challenging aspects of planning. But planning is rewarding for people who meet the challenge of change. Ironically, to keep things as they are takes planning, too.

COUNTYWIDE FRAMEWORK FOR POLICYMAKING

We've seen how policy is made in a single jurisdiction community. We've seen how we use our government to integrate our varied activities in the policymaking and planning process. In Santa Clara County we now have 17 governments, most advised by their own planning commissions and other governmental agencies. These include the 16 cities with their city councils, and the County Board of Supervisors, which in some ways governs its unincorporated territory in the same way as the cities govern their incorporated territory.

Our individual city and county governments serve well for making many kinds of policy. But, their boundaries limit the solution of problems extending beyond. How to build a system of local public transit, regional mass transit, and automobile trafficways that work together? Or a metropolitan system of parks and recreational facilities? Or a comprehensive policy for staged urban expansion, open space, or bay shore development? These problems are not limited by city limits. Any piecemeal solution bids to be a losing one. In such matters it becomes too easy to say, "Let somebody else do it, because we can't."

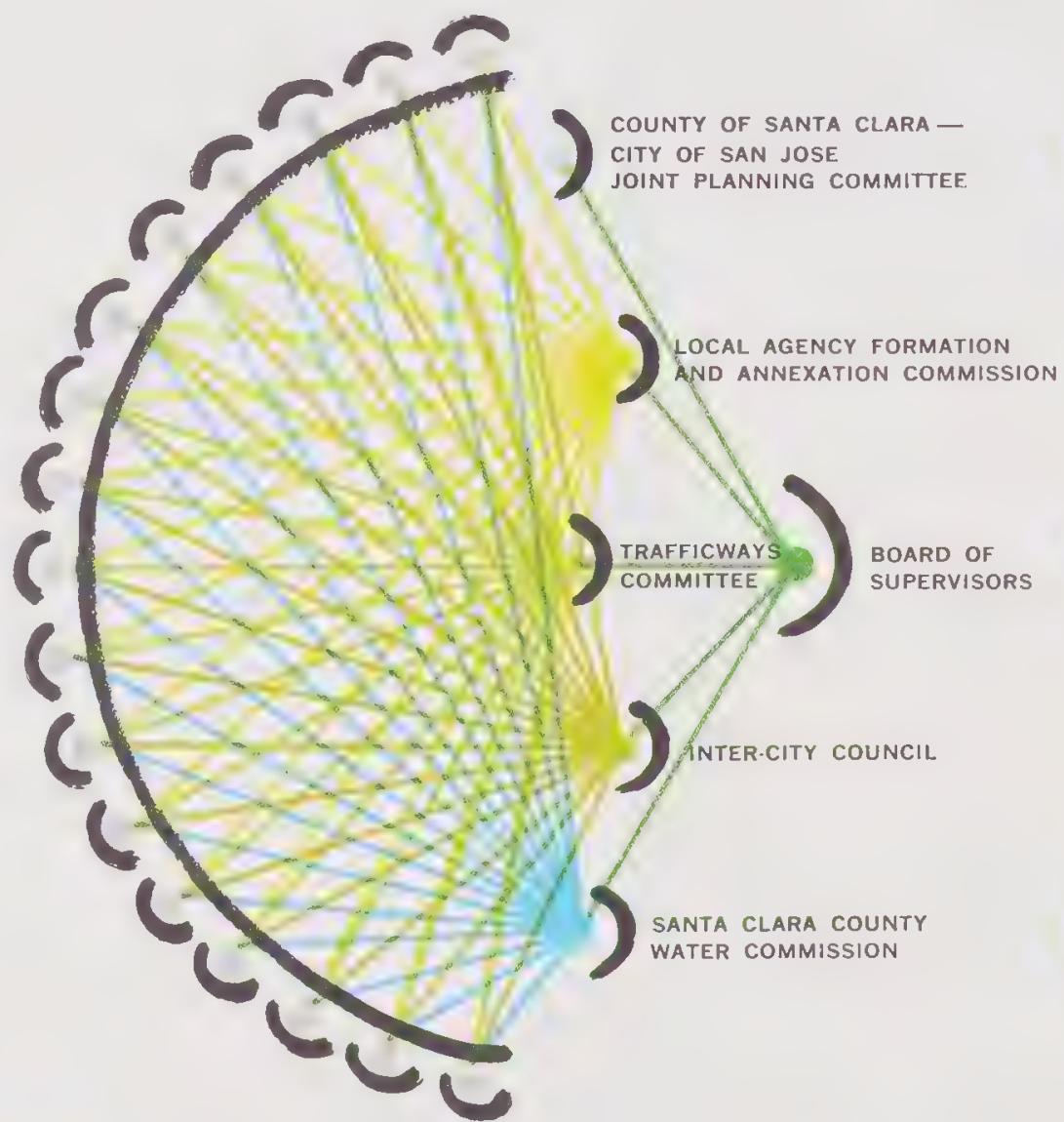
If we are to make policies broad enough to tackle countywide and regional problems, we must learn to bridge existing governmental limits. Governmental officials and the citizen groups who work with them . . . both need such bridges. They need bridges in the governmental phases of policy making and in the citizen participation phases.

GOVERNMENT LEVEL

Among governments we are building the means for making coordinated policy within Santa Clara County and in the San Francisco Bay Region.

THE SANTA CLARA COUNTY-CITY OF SAN JOSE JOINT PLANNING POLICY COMMITTEE was created by ordinance of the two jurisdictions. It is composed of elected officials and planning commissioners from each jurisdiction. Although limited to only two jurisdictions, it is a means to promote cooperative planning policy in their city-county fringe areas.

THE 16 CITIES have each worked occasionally with one or more neighbors to solve such joint problems as sewer treatment, annexation areas, street planning.



THE SANTA CLARA COUNTY WATER COMMISSION studies and recommends water policy. Like the ICC and the Trafficways Committee, it has a representative from each of the 16 City Councils and the County Board, along with representatives from the two special water conservation districts. The Commission, served by the staff of the S.C. Flood Control and Water District, guides the water importation program.

THE LOCAL AGENCY FORMATION AND ANNEXATION COMMISSION was created in 1963 by State law to promote local coordination of urban growth. As in all other counties, our Local Agency Commission is charged to review all proposed city annexations and the formation of new cities or special districts. The Commission has the power to approve, change or reject annexation or formation proposals on the basis of whether they make sense regarding development trends and existing governmental service areas. It is composed of five men. Two are county supervisors. Two are city councilmen, selected by the ICC. The fifth, who is not a public official, is named by the other four.

THE TRAFFICWAYS COMMITTEE, like the ICC from which it grew, is countywide. With one member from each of the 16 city councils, it is the policymaking body for the countywide trafficways program. It is advised by a technical staff subcommittee made up of staff experts representing the cities and the county. This body, bringing together staff advisors and policymakers from each jurisdiction, is successfully carrying out the first stage of the County Trafficways Plan.

THE BOARD OF SUPERVISORS has for many years been responsible for working on such countywide problems as public health, property tax assessment, recording of deeds, welfare, etc. They have also worked on such problems as trafficways and water importation. Organized as the **SANTA CLARA COUNTY FLOOD CONTROL AND WATER DISTRICT** (with the same Board and boundaries as the County) they guide the countywide flood control program and have contracted with the State to import water for those cities which participate.

THE INTER-CITY COUNCIL has worked cautiously since 1954 to promote cooperation among the 16 cities and the County. The ICC's General Council, composed of officials from each city and the county, meets monthly to listen to informative speakers and to discuss the ideas presented. Its Mayors' Committee and other working committees recommend action to the general council and its member governments. The ICC selects the city representatives on such agencies as the Local Agency Formation and Annexation Commission and the Association of Bay Area Governments (ABAG). Because it includes all governments in the county, the ICC has great potential for reaching countywide policy solutions to our urban problems, best realized to date in the countywide trafficways program.

SAN FRANCISCO BAY REGION

At the Bay Region level, inter-governmental organizations are being formed to solve regional problems. They are generally composed of officials of the governments within the area. They enable our numerous local governments to adopt regional policy to solve problems as they wish.

THE ASSOCIATION OF BAY AREA GOVERNMENTS (ABAG) is composed of the 9 Bay Area counties and their 90 cities most of which have joined. With officials representing the member governments, ABAG is organized into special committees to work on such problems as regional recreation, pollution control planning, refuse disposal, transportation, and bay lands development.

Other regional governmental organizations, such as the following, focus on specific problems: Water Pollution Control Board; Bay Area Rapid Transit District (BARTD); Bay Area Transportation Study Commission (BATSC), and Air Pollution Control District.

Thus, we are developing in the governmental sphere of policymaking a working network of governments to make policy. This network links our cities and county, first into a countywide unit and then into the Bay Region. In this manner our governments may, if they wish, agree on policy extending across individual city limits to solve areawide problems.



CITIZEN LEVEL

The proper functioning of government depends on the participation of informed and active citizens individually and in groups. As we have seen, there is usually a variety of citizen organizations within each city which may work with that single government. These include Chambers of Commerce, realty boards, service clubs, neighborhood and homeowners associations, conservation groups, and so on. Citizen organizations, as well as governments, need ways of bridging the barriers of local jurisdictional boundaries.

IN THE BAY REGION a variety of citizen organizations are being organized to inform their members and provide them channels for taking part in policymaking at the regional level:

The Bay Area Council
Save San Francisco Bay Association
Junior Chamber of Bay Region Council
Bay Area Welfare Planning Federation
Regional Arts Council of the S.F. Bay Area
Bay Area Health Facilities Planning Association
Northern California Real Estate Research Committee
Leagues of Women Voters of the Bay Area
Bay Area Citizens for Regional Recreation and Parks
Bay Area Congress of Citizen Organizations.

IN SANTA CLARA COUNTY there are a few organizations which are countywide in scope. They can work with each City Council, as well as the County Board of Supervisors, if they wish. Among them are the following:

Santa Clara County Taxpayers Association
Tri-County Apartment House Association
American Institute of Architects, Coast Valley Chapter
Audubon Society of Santa Clara County
Santa Clara County Council, League of Women Voters
Builders Assn. of Santa Clara and Santa Cruz Counties
Santa Clara County Citizens for Parks and Open Space
Sixth District, Calif. Congress of Parents and Teachers
Council of Social Planning of Santa Clara County.

Although there are many citizen organizations active in local affairs, the present scope of each is limited to only a portion of the County. If they want to work effectively on problems needing countywide solutions, they may consider extending their scope. Some may do this by extending the area of their activities and membership. For many, it may be wiser to form a countywide federation or council of organizations. In this way they can share fact gathering and information programs. They can more easily find working agreements among their fellow organizations. Thus, they can work more effectively with the 16 city councils and the county board.

NEED FOR COUNTYWIDE COORDINATION AMONG CITIZEN ORGANIZATIONS

We have, in Santa Clara County, governmental organizations with a strong potential for working on countywide problems. **We need countywide coordination among citizens** so that they can work together and so that our governments can have the benefits of their help. This coordination of citizen participation throughout Santa Clara County is bound to happen. It is a vital part of the growth and maturing of every urban area. In almost every metropolitan area of our nation, citizen groups, usually with some staff help, are shouldering their responsibilities in local government. They agree on which problems are most important. They study expert analyses of the problems, consider alternative solutions, and recommend policy to their governments. They help to carry out the policies which their governments adopt.

It will happen here in several ways:

ADVISORY COMMITTEES OF CITIZENS

made up of experts in various fields

made up of residents of various areas or jurisdictions within the county

advisory to and appointed by various sections of county government, the Inter-City Council, or other countywide governmental organizations

to focus on functional problems such as transportation, economic growth; to promote high employment, the housing market, recreation and open space, public finance, extension of urban facilities.

to integrate the work being done on problems separately by various jurisdictions.

COUNCILS OF CITIZEN ORGANIZATIONS

made up of independent citizen groups and individuals

self-organized to work publicly with citizen organizations and with government but not created by government

sharing a need for facts and communication

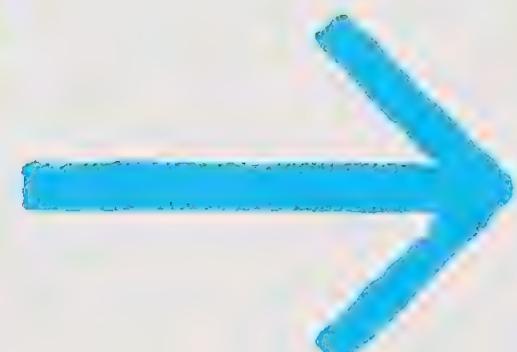
wanting to work with government to solve countywide problems

looking for areas of agreement with other groups as a basis for joint action

from all parts of the county so that they can work with each government across city limits

bringing varied views to bear on a problem so that proposed solutions have more political reality.

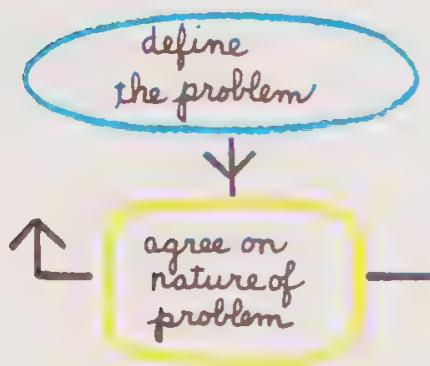
Citizen organizations can zero in on common objectives by coordinating their efforts.



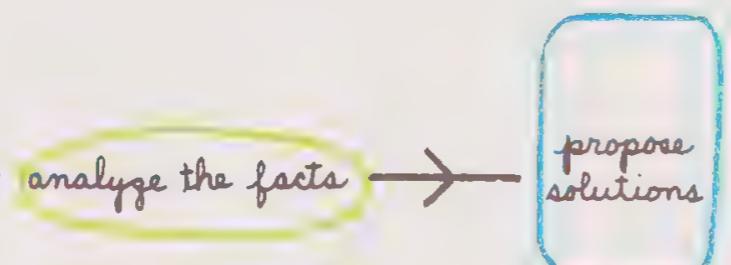
BY BEING ACTIVE IN SUCH GROUPS EACH OF US CAN PLAY A VITAL PART IN OUR POLICY PLANNING PROCESS

THROUGH COUNTYWIDE ADVISORY COMMITTEES AND CITIZEN COUNCILS WE CAN:

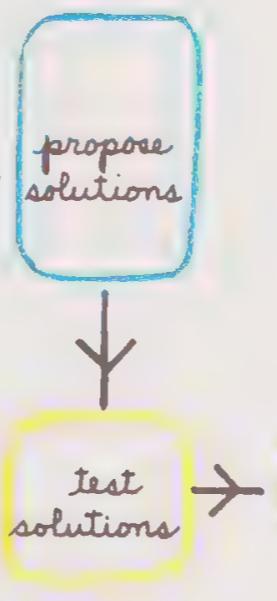
- 1 Help identify problems needing countywide policy solutions.



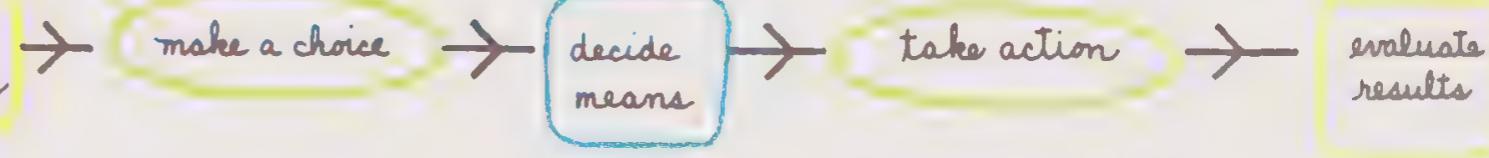
- 2 Save elected officials and commissioners time by screening staff-prepared information on problems and proposed policy solutions.



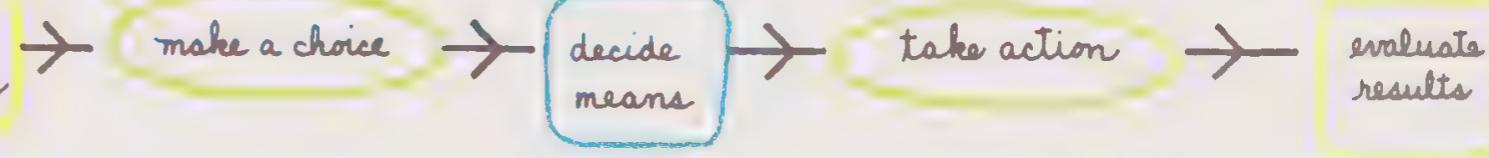
- 4 Bring non-governmental community resources to bear upon countywide problems; help weave together the solution to specific problems so that the solution of one problem doesn't counter the solution of another; encourage the cities, county, and special districts to continue cooperating on the solving of countywide problems.



- 3 Help test whether alternative proposals are politically acceptable.

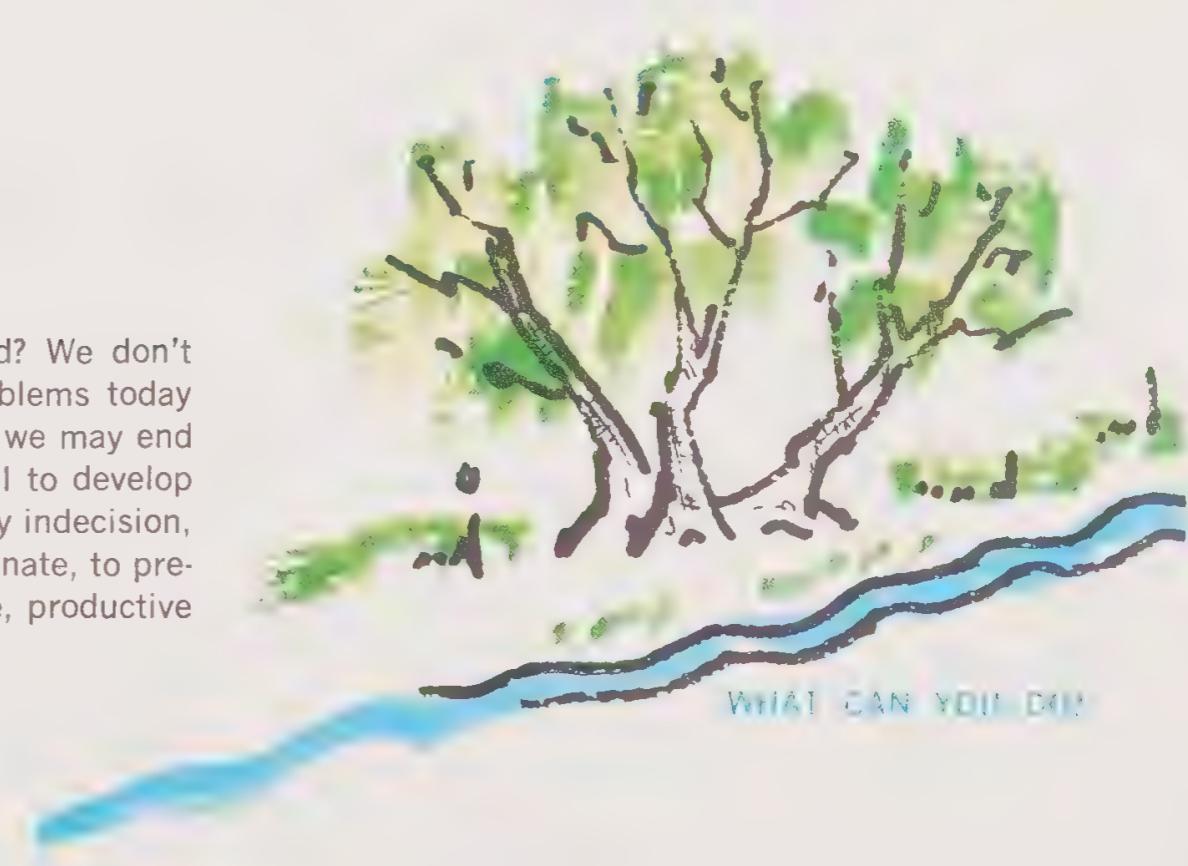


- 5 Work to see that agreed-upon joint policy for such questions as countywide transportation or bay lands development is included in general plans and carried out through zoning, capital improvement programs, and other community action; and provide broad community support for policy decisions.



WHAT HAPPENED TO WATERFLOW CREEK?

Did governments cooperate? Was the park chain secured? We don't know yet. Just like Waterflow Creek, there are many problems today that need joint policy and joint action. If we wait too long, we may end up with piecemeal policies and partial solutions which fail to develop our full community potential — policies made by default, by indecision, by limited interests. Or, we can start now to plan, to coordinate, to prepare joint policies to work toward a more desirable, livable, productive environment for the years to come.



WHAT YOU CAN DO

- Become familiar with the governmental and non-governmental organizations active in local policymaking and planning.
- Urge the groups in which you are active to do studies of countywide problems.
- Explore cooperation with other groups to define countywide problems and find areas of mutual concern which you share, even if it is as basic as need for a joint information program.
- Seek the help of your elected officials. They want your co-operation.

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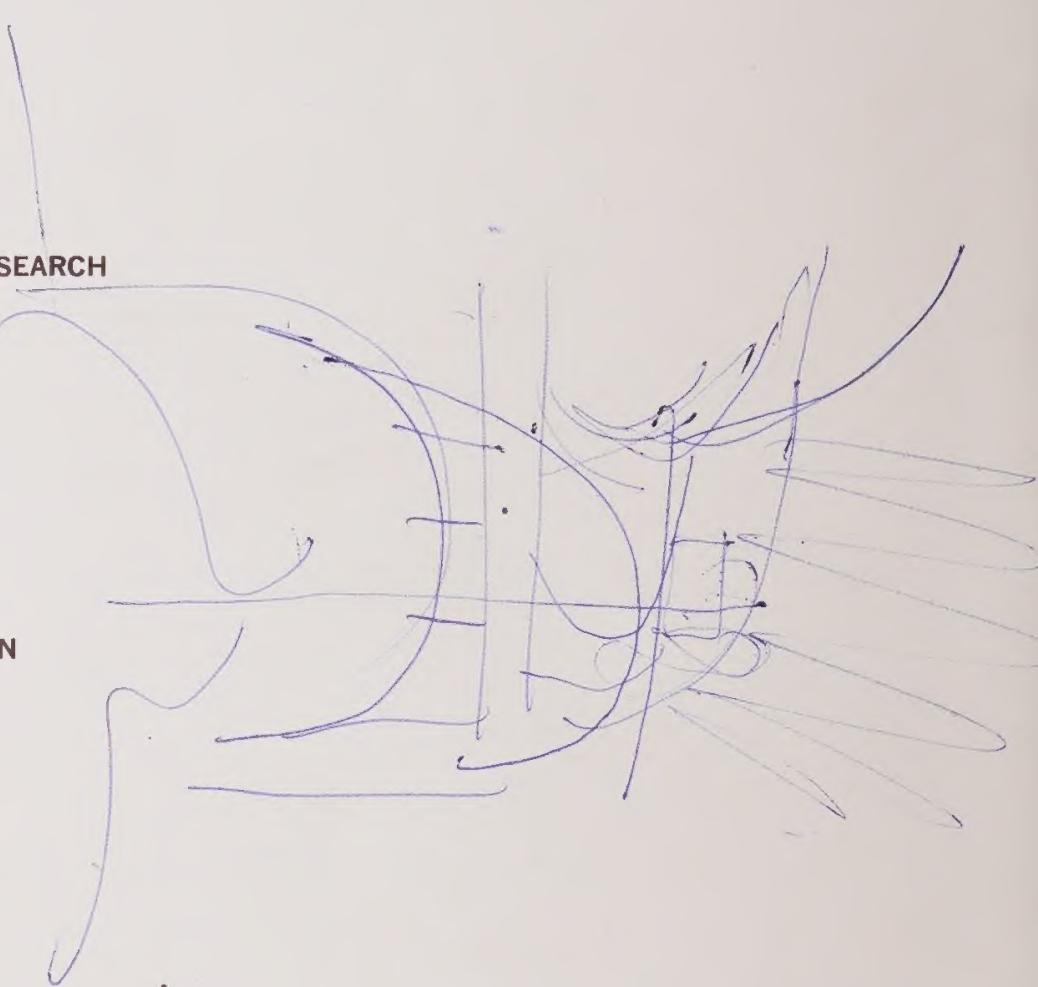
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